



Sheet _ of 2

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. 36287-04404	SERIAL NO. 10723,264
INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)		APPLICANT Gray et al.	
		FILING DATE November 26, 2003	GROUP ART UNIT 3694

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	6,269,346	7-2001	Cristofich et al			
	6,567,790	5/20/03	Slane			
	7,212,993	5-2007	Bodurtha et al.			
	7,353,200	4-2008	Brumberg			
	2001/0044770	11-2001	Keith			
	2001/0056391	12-2001	Schultz			
	2002/0010663	01-2002	Muller			
	2002/0032636	02-2002	Shields et al.			
	2002/0042771	04-2002	Shields et al.			
	2002/0116310	08-2002	Cohen et al.			
	2002/0133456	09-2002	Lancaster et al.			

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Papers, Etc.)

		Applications of random walkers to Stock Pricing, www.math.mit.edu/stocker/18354.d/financial.pdf ; Spring 2004
		Transferable Stock Options: Compensation for the 21st Century, David A. Seaman, Workspan, May 2004, 47(5) pages 64-71
		Transferable Stock Options: Microsoft's Program, Frederic W. Cook & Co., Inc. Oct. 31, 2003
		Transferable Stock Options (TSOs) and the Coming Revolution in Equity-Based Pay, Brian J. Hall, Journal of Applied Corporate Finance, Winter 2004 16(1)

EXAMINER /Scott Trotter/	DATE CONSIDERED 01/21/2009
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Sheet _ of 2

FORM PTO-1449		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 36287-04404		SERIAL NO. 10/723,264	
INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)				APPLICANT Gray et al.			
				FILING DATE November 26, 2003		GROUP ART UNIT 3694	
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		2002/0172349	11-2002	Shea			
		2002/0194136	12-2002	Sullivan et al.			
		2002/0198804	12-2002	Calvin			
		2004/0199449	10-2004	Rudkin			
		2005/0004854	01-2005	Jones et al.			
		2005/0154751	07-2005	Levi et al.			
		2005/0216384	09-2005	Partlow et al.			
		2006/0155621	07-2006	Bell			
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Papers, Etc.)							
		Statement 133 Implementation Issues, No. A17, FASB, May 1, 2003					
		Financial Accounting Series Statement of Financial Accounting Standards No. 123 (revised 2004), Financial Accounting Standards Board of the Financial Accounting Foundation, No. 263-C					
		Menachem Brenner, Rangarajan K. Sundaram and David Yermack, Alternating the terms of executive stock options, 2000, Journal of Financial and Economics, 57, pages 103-128					
EXAMINER				DATE CONSIDERED			
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							